
PS&E CHECKLIST

Agency _____

Federal Project No. _____

This form is to be completed by the local agency and attached to the PS&E Certification. See Exhibit 12-E for instructions and the referenced attachments.

I. HIGHWAY SYSTEM

On the National Highway System (NHS)

Off the NHS

II. FUNCTIONAL CLASSIFICATION (Check as many as appropriate)On the Federal-aid System

Urban Principal Arterial - Fwy or Expwys
Urban Principal Arterial - Other
Urban Minor Arterial
Urban Collector

Rural Principal Arterial - Other
Rural Minor Arterial
Rural Major Collector

Off the Federal-aid System

Urban Local

Rural Minor Collector
Rural Local

III. TYPE OF CONSTRUCTION (Check appropriate box)

New or Reconstruction

Resurfacing, Restoration and Rehabilitation (3R)

Preventive Maintenance

IV. METHOD OF CONSTRUCTION**A. Contracting Method** (Check appropriate box)

Competitive bidding

Other than competitive bidding

(If the contracting method is other than competitive bidding, check appropriate box.)

The project is exempt from FHWA oversight. A Public Interest Finding is on file in the contract records justifying the method.

The project is not exempt from FHWA oversight. A Public Interest Finding justifying the method has been submitted and approved by Caltrans.

B. Force Account (Day Labor) (Check appropriate box)

The entire project will be constructed by contract as indicated above.

Some work (incidental to the main purpose of the project) will be constructed by Force Account. A Public Interest Finding is on file in the contract records justifying the work.

The entire project will be constructed by Force Account (Day Labor).

(If the entire project will be constructed by Force Account (Day Labor), check the appropriate box.)

The project is exempt from FHWA oversight. A Public Interest Finding is on file in the contract records justifying the work.

The project is not exempt from FHWA oversight. A Public Interest Finding justifying the method has been submitted and approved by Caltrans.

V. ENVIRONMENTAL ANALYSIS (Check box if requirement is met)

The PS&E is fully responsive to the necessary actions called for by the environmental document, permit conditions and other agreements.

VI. VALUE ENGINEERING (VE) ANALYSIS (Check appropriate box if the project is on the NHS)

VE analysis been performed on this project and a copy of the analysis has been forwarded to the Caltrans District Value Analysis Coordinator).

VE analysis has not been performed; the estimated project cost is <\$25 million.

VII. GEOMETRIC DESIGN STANDARDS (Complete this section if project changes existing geometrics)

A. Geometric Design Standards Used (Check appropriate box)

Caltrans Design Standards (on State highway system)

Current AASHTO Standards

3R Projects - Minimum Standards for Geometric Design of Federal-Aid Resurfacing, Restoration, and Rehabilitation Projects on Local Streets and Roads, *Local Programs Manual*, State of California Department of Transportation.

Local Agency Design Standards

Date approved _____

B. Deviations from Controlling Criteria (check appropriate box for each controlling criteria)

Criteria Met	Design Criteria Not Met	Design Exception Approval Date	Controlling Criteria
		_____	Design Speed
		_____	Lane Width
		_____	Shoulder Width
		_____	Bridge Width
		_____	Horizontal Alignment
		_____	Vertical Alignment
		_____	Grades
		_____	Stopping Sight Distance
		_____	Cross Slopes
		_____	Superelevation
		_____	Horizontal Clearance
		_____	Vertical Clearance

VIII. BRIDGE DESIGN PROCEDURES (Check the appropriate box)

All bridges have been designed in accordance with the current edition of the Caltrans *Bridge Design Specifications Manual*

YESDOES NOT APPLY (Bridge construction not included in the project)**IX. STANDARD PLANS** (Check appropriate box)Caltrans *Standard Plans**Standard Plans for Public Works Construction*

Local Approved Standard Plans:

_____ Date signed (on behalf of the local agency) by a person in responsible charge and who is a registered professional engineer licensed to practice in the State of California.

X. PROJECT PLANS (Check box if requirements met)

Plans signed and stamped on behalf of the local agency by the person in responsible charge and who is a registered professional engineer licensed to practice in the State of California.

Traffic Control Plans and Signs/Striping Plans Included

Erosion Control Plan

XI. STANDARD SPECIFICATIONS (Check Standards used)

Caltrans *Standard Specifications*

Standard Specifications for Public Works Construction (Green Book)

Locally Approved Standard Specifications

XII. REQUIRED FEDERAL CONTRACT PROVISIONS

A. General Federal Requirements (Check appropriate box and indicate page number)

Page No.

Caltrans SSP - *SECTION 14. FEDERAL REQUIREMENTS FOR FEDERAL-AID CONSTRUCTION PROJECTS* (Attachment A, FR-1 & FR-2) is included.

Equivalent provisions are included.

B. FHWA Form 1273

1. Incorporation of FHWA Form 1273 into Contract (Check appropriate box and indicate page number)

Page No.

An unmodified copy of FHWA Form 1273 *REQUIRED CONTRACT PROVISIONS FEDERAL-AID CONSTRUCTION CONTRACTS* (Attachment B, FR-3 thru FR-14) has been physically incorporated into this contract.....

A modified copy of FHWA Form 1273 *REQUIRED CONTRACT PROVISIONS FEDERAL-AID CONSTRUCTION CONTRACTS* has been physically incorporated into this contract.....

2. Modification of FHWA Form 1273 (Complete this section if the form has been modified.)

Project cost _____

a. Section IV. Payment of Predetermined Wages (Check appropriate box)

Section IV has not been modified.

Section IV has been *crossed out/ removed/ specified elsewhere in the contract that it does not apply* (indicate type of modification).

b. Section V. Statements and Payrolls (Check appropriate box)

Section V has not been modified.

Section V has been *crossed out/ removed/ specified elsewhere in the contract that it does not apply* (indicate type of modification).

c. Section VI. Record of Materials, Supplies, and Labor (Check appropriate box)

Section VI has not been modified.

Section VI has been *crossed out/ removed/ specified elsewhere in the contract that it does not apply* (indicate type of modification).

d. Section VII. Subletting or Assigning the Contract (Check appropriate box)

Section VII has not been modified.

Section VII has not been *crossed out/ removed/ specified elsewhere in the contract that it does not apply* (indicate type of modification).

C. Certification/Disclosure Forms (Check if included and indicate page number)

Page No.

EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION (Exhibit 12-E, Attachment C) _____

NONCOLLUSION AFFIDAVIT (Exhibit 12-E, Attachment D) _____

DEBARMENT AND SUSPENSION CERTIFICATION (Exhibit 12-E, Attachment E)..... _____

NONLOBBYING CERTIFICATION FOR FEDERAL-AID CONTRACTS (Exhibit 12-E, Attachment F) _____

DISCLOSURE OF LOBBYING ACTIVITIES (Exhibit 12-E, Attachment G)..... _____

2-1.015—*FEDERAL LOBBYING RESTRICTIONS* (Exhibit 12-E, Attachment H) _____

Equivalent provisions (Attach complete listing, including page numbers)

D. Liquidated Damages (Check appropriate box and indicate page number)

Page No.

Caltrans SSP SECTION 4. BEGINNING OF WORK, TIME OF COMPLETION AND LIQUIDATED DAMAGES (Exhibit 12-E, Attachment I) is included in this contract _____

Equivalent provisions are included. _____

E. Disadvantaged Business Enterprise (DBE)/Subcontracting

Date Annual Goal approved by DLAE _____		
DBE Annual Overall Goal _____	Race Conscious Portion _____	Race Neutral Portion _____
This Contract Goal _____	Race Conscious Portion _____	Race Neutral Portion _____
(Note: Contract Goals are calculated based upon the percentage of federal-aid dollars in the contract)		
<p>This contract has a specific DBE goal to meet the intent of the DBE Program and the Annual Overall Goal</p> <p>This contract has no specific DBE goal as it has been determined that one is not appropriate. Documentation verifies this determination and is on file.</p>		

If contract has a specific race conscious goal, complete Section 1 below. If contract does not have a specific race conscious goal, complete Section 2 below.

1. Contracts with specific goals (Check if included and indicate page number)

The following applicable Caltrans Standard Special Provisions (SSPs) to the Caltrans Standard Specifications or their equivalent are included in the contract Special Provisions with page numbers noted (editing may be required).

Page No.

2-1.01 GENERAL - Required Listing of Proposed Subcontractors and
Required Contract Assurance Statement (Exhibit 12-E, Attachment H)
or *Equivalent Provisions*

LISTING OF SUBCONTRACTORS (Form in Sample Proposal and Contract)
or *Equivalent Form*

2-1.02 DISADVANTAGED BUSINESS ENTERPRISE (DBE) (Exhibit 12E, Attachment H)
or *Equivalent Provisions*

2-1.02A DBE GOAL FOR THIS CONTRACT (Exhibit 12-E, Attachment H)
or *Equivalent Provisions*

2-1.02B SUBMISSION OF DBE INFORMATION (Exhibit 12-E, Attachment H)
or *Equivalent Provisions*

3- AWARD AND EXECUTION OF CONTRACT (Exhibit 12-E, Attachment I)
or *Equivalent Provisions*

Caltrans SSP 5-1. *SUBCONTRACTOR AND DBE RECORDS* (Exhibit 12-E,
Attachment J)
or *Equivalent Provisions*

Caltrans SSP 5-1. *DBE CERTIFICATION STATUS CHANGE* (Exhibit 17-O)
or *Equivalent Provisions*.....

Caltrans SSP 5-1. *PERFORMANCE OF DBE SUBCONTRACTORS AND SUPPLIERS*
(Exhibit 12-E, Attachment K)
or *Equivalent Provisions*

Caltrans SSP 5-1. *SUBCONTRACTING*
or *Equivalent Provisions*

Caltrans SSP 5-1. *PROMPT PROGRESS PAYMENTS TO SUBCONTRACTORS*
or *Equivalent Provisions*.....

Caltrans SSP 5-1. *PROMPT PAYMENT OF WITHHELD FUNDS TO SUB-*
CONTRACTORS.
or *Equivalent Provisions*

Caltrans SSP *LOCAL AGENCY BIDDER-DBE INFORMATION Form* (Exhibit 12-E, Attachment L)
or *Equivalent Provisions*

Bidder's List (49 CFR, Part 26.11) List data for all firms that bid as prime, or bid or
quote subcontracts for this contract (optional).

2. Contracts without specific goals (Check if included and indicate page number)

The following applicable Caltrans Standard Special Provisions (SSPs) to the Caltrans Standard Specifications or their equivalent are included in the contract Special Provisions with page numbers noted (editing may be required).

Page No.

2-1.01 GENERAL - Required Listing of Proposed Subcontractors and
Required Contract Assurance Statement (Exhibit 12-E, Attachment H)
or Equivalent Provisions

LISTING OF SUBCONTRACTORS (Form in Sample Proposal and Contract)
or Equivalent Form

2-1.02 DISADVANTAGED BUSINESS ENTERPRISE (DBE) (Exhibit 12-E,
Attachment H)
or Equivalent Provisions

3- AWARD AND EXECUTION OF CONTRACT (Exhibit 12-E, Attachment I)
or Equivalent Provisions

Caltrans SSP 5-1. SUBCONTRACTOR AND DBE RECORDS (Exhibit 12-E,
Attachment J) or Equivalent Provisions

Caltrans SSP 5-1. DBE CERTIFICATION STATUS CHANGE (Exhibit 17-O)
or Equivalent Provisions

Caltrans SSP 5-1. SUBCONTRACTING
or Equivalent Provisions

Caltrans SSP 5-1. PROMPT PROGRESS PAYMENTS TO SUBCONTRACTORS
or Equivalent Provisions

Caltrans SSP 5-1. PROMPT PAYMENT OF WITHHELD FUNDS TO SUB-
CONTRACTORS.
or Equivalent Provisions

Bidder's List (49 CFR, Part 26.11) List data for all firms that bid as prime, or bid or
quote subcontracts for this contract (optional).

F. Buy America Specification (Check appropriate box and indicate page number
if requirement applies. See Section 12.9 of the *Local Assistance Procedures Manual* for requirement.)

Page No.

Caltrans SSP 5-1. BUY AMERICA REQUIREMENTS (Exhibit 12-E, Attachment M).....

Equivalent provisions are included.

Buy America specifications are not included in contract.

Waiver for the following has been approved by FHWA: _____ Date _____.

G. Federal Trainees (Check appropriate box and indicate page number if requirement applies)

The project has less than 100 working days. A Federal Trainee goal and special provisions are not required.

Analysis of the Engineers Estimate has the dollar value under \$200,000. A Federal Trainee goal and special provisions are not required.

Page No.

Caltrans SSP - *FEDERAL REQUIREMENT TRAINING SPECIAL PROVISIONS* (Exhibit 12-E, Attachment N, FR-15 and FR-16) are included. (The Trainee goal is _____.) _____

Equivalent provisions are included (The Trainee goal is _____.) _____

H. Federal Wage Rates (Check appropriate box and indicate page number if Federal Wages Rates are included)

Page No.

Federal Wages Rates are physically incorporated in this contract..... _____

Note: By checking the above box, the local agency is indicating that they are aware of the Federal-aid "10 day rule" requirement.

This project is not located on a Federal-aid Route, Federal Wage Rates are not required.

I. Relations with Railroad (Check appropriate box and indicate page number if special provisions are included)

Page No.

The required provisions are included..... _____

This project does not involve the use of railroad properties or adjustments to railroad facilities.

XIII. RESTRICTED CONTRACT PROVISIONS (CHECK APPROPRIATE BOX)

A. Indian Preferences (Check appropriate box and provide required information)

Not included

Included. The project is on or near the _____ Indian Reservation.

B. Bonding and Prequalification (Check box if requirement met)

Bonding or prequalification, if required, will not be used to restrict competition, prevent submission of a bid by or prohibit consideration of a bid submitted by any responsible contractor, whether a resident or nonresident of the State of California

C. Price Adjustment Clauses (Check appropriate box)

Price adjustment clauses are not included.

Price adjustment clauses are included. The federal conditions restricting the use of these clauses have been met and are documented in the project files.

D. Warranty Clauses (Complete this section if project is on the NHS)

Warranty Clauses are not included.

Warranty Clauses are included. Documentation of the required conditions on the use of these clauses is in the project files.

E. Proprietary Items (Complete this section if project is on the NHS)

Proprietary Items are not included.

Proprietary Items are included. A Public Interest Finding justifying the use has been approved and is documented in the project files.

XIV. MATERIALS & EQUIPMENT (Check appropriate box)**A. Publicly Owned Equipment (for use by Contractor)** (Check appropriate box)

Not included

Included. A Public Interest Finding justifying this use is in project files and the project specifications meet the requirements for federal participation listed in Chapter 12.

B. Equipment Purchases for Local Ownership (Check appropriate box)

Not included

Included. Amount charged to construction engineering will be limited to amortized equipment cost (over its useful life) attributable to the time the equipment is used on the project.

C. Convict Produced Materials

Not included

Included. The conditions placed on the use of these materials by the contractor meet federal requirements and are included in the contract specifications.

D. Local Agency Furnished Materials (Check appropriate box)

Local Agency Furnished Materials are not included.

(If Local Agency Furnished Materials are included check appropriate box.)

Local Agency Furnished Materials have been acquired on the basis of competitive bidding.

A Public Interest Finding is on file in the contract records justifying another method of acquisition.

XV. PRELIMINARY ESTIMATE (Check boxes if requirements met)

Exhibit 12-A, or equivalent has been completed and is attached.

The estimate is broken down into items sufficient in detail to provide an initial prediction of the financial obligation to be incurred by the local agency, State and FHWA and to permit an effective review and comparison of the bids received.

Non-participating items of work have been identified and segregated from the estimated cost of work eligible for federal-aid.

(If project is funded with more than one type of federal-aid, check box if requirement met.)

The estimate has been segregated by fund types for use in preparing the "Request for Authorization for Construction" (Detail Record) and the Finance Letter.

XVI. LOCAL AGENCY SIGNATURE

This Federal Contract Provisions checklist has been prepared in accordance with Chapter 12 "PS&E" of the *Local Assistance Procedures Manual*.

Signature: _____ Date: _____

XVII. CALTRANS ACCEPTANCE:

Check appropriate acceptance statement:

I have not personally inspected the subject project PS&E package but I am aware of the scope of the project. I have reviewed this "PS&E CHECKLIST" and agree it is complete and appears to have been prepared in accordance Chapter 12 "PS&E" of the *Local Assistance Procedures Manual*.

I have inspected the specifications portion of the subject project PS&E package and I am aware of the scope of the project. I have reviewed this "PS&E CHECKLIST" and agree it is complete and appears to have been prepared in accordance with Chapter 12 "PS&E" of the *Local Assistance Procedures Manual*. I have also verified that the indicated Required Federal Contract Provisions are included in the specifications.

Signature: _____

Title: _____

Date: _____

Distribution:

Original submitted to DLAE with PS&E Certification.

Original "Accepted" copy to be retained in DLAE file with PS&E Certification.

One "Accepted" copy to be returned to local agency